

DRAFT DIRECTIVE TRANSMITTAL
WORKFORCE INVESTMENT ACT

Number: WIADD-120

Date: May 31, 2006

TO: WORKFORCE DEVELOPMENT COMMUNITY

SUBJECT: NEW PARTICIPANT REPORTING REQUIREMENTS—UNIVERSAL
SERVICES

☒ **IMMEDIATE ACTION**

Bring this draft to the attention of the appropriate staff.

☒ **E-MAIL COPY TRANSMITTED**

Number of pages (including coversheet): 10

If there are any problems with this transmittal, please call the Pagemaster at 916/654-8008.

SUBJECT MATTER HIGHLIGHTS:

On July 1, 2005, the Department of Labor required States to begin reporting a quarterly count of clients visiting the One-Stops and receiving universally available services (self-service) funded by the Workforce Investment Act (WIA). This directive provides a definition of universally available services for the purpose of this reporting requirement and requires those local areas with access to these data to report this information to the Employment Development Department, Workforce Investment Division beginning July 10, 2006. Subsequent quarterly reporting will be due on the 20th of the month following the close of the calendar quarter.

COMMENTS ARE DUE BY:

6/21/06

Comments can be submitted through one of the following ways:

- 1) **Fax** — WID, Attention: Larry Whatley at 916/654-9586
- 2) **E-Mail** — LWhatley@edd.ca.gov (Include “draft comments” in the subject line)
- 3) **Mail** — WID / P.O. Box 826880 / MIC 69 / Sacramento, CA 94280-0001

All comments received by the end of the comment period will be considered before the final directive is issued. However, we will not be able to individually respond to comments. **Comments received after the specified due date will not be considered.**

If you have any questions, contact your WID Regional Advisor at (916) 654-7799.

DRAFT DIRECTIVE

WORKFORCE INVESTMENT ACT

Number:

Date:

69:76:cs:10110

TO: WORKFORCE DEVELOPMENT COMMUNITY

SUBJECT: NEW PARTICIPANT REPORTING REQUIREMENTS—UNIVERSAL
SERVICES

EXECUTIVE SUMMARY:

Purpose:

This directive delineates Department of Labor requirements to quarterly report an aggregate count of clients receiving only universally available (self-service) services through the One-Stop system and provides the procedures for reporting these data to the Employment Development Department (EDD) Workforce Investment Division (WID).

Scope:

This directive applies to the Local Workforce Investment Areas (LWIA).

Effective Date:

This directive is effective on the date of issuance.

REFERENCES:

- Workforce Investment Act (WIA) Section 185
- Office of Management and Budget (OMB) Control Number 12-05-0420, expiring February 28, 2009.
- Department of Labor (DOL) Training and Employment Guidance Letter (TEGL) 17-05, Common Measures Policy for the Employment and Training Administration's (ETA) Performance Accountability System and Related Performance Issues (February 17, 2005).

EDD is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. Special requests for services, aids, and/or special formats need to be made by calling (916) 654-8055 (Voice) or (916) 654-9820 (TTY).

STATE-IMPOSED REQUIREMENTS:

This directive contains some state-imposed requirements. These requirements are indicated by ***bold, italic type***.

FILING INSTRUCTIONS:

Retain this directive until further notice.

BACKGROUND:

In February 2006, the OMB gave final approval through February 28, 2009, to quarterly reporting instructions for the WIA Title IB programs. This guidance was initially approved by OMB in December 2005, and was effective as of July 1, 2005. These instructions require states to quarterly report an aggregate count of the number of individuals receiving self-services, also referred to as universal services or Core A services, funded by the WIA.

California has not complied with this reporting requirement because we do not have a statewide- automated system readily available in our One-Stops to support reporting these data. This directive imposes reporting procedures upon the LWIAs to bring California into compliance with the DOL mandate to count and report the number of clients receiving WIA funded universally available services through the One-Stop delivery system.

POLICY AND PROCEDURES:

Effective July 10, 2006, and, for each consecutive quarter on the 20th of each month following the close of a calendar quarter; each LWIA is required to report the number of self-service clients accessing their One-Stops during the applicable report period and the number of self-service clients that have not received any additional services for 90-days (self-service exiters). These client counts must be reported in accordance with the definitions and procedures outlined in this directive.

This directive provides two procedures for providing these data. A LWIA may take either approach, although the State encourages the use of option 1 below. LWIAs unable to provide self-service client counts must submit a zero report to the EDD WID using option 2 below. A LWIA unable to provide these data should provide an explanation in the comment section of the report, including steps, if any, the LWIA is taking to come into compliance with these reporting requirements.

DEFINITIONS (DOL TEGL 17-05)

Self-service occurs when participants serve themselves in accessing workforce investment system information and activities, funded by the WIA, in either a physical location, such as a One-Stop Career Center resource room or partner agency, or remotely via the use of electronic technologies. This may involve both self-service and staff assisted core services when the staff assistance involves information that is readily available to the public.

For the purpose of this directive a participant is an adult (18 years of age or older) who accesses WIA funded self-service information and activities in either a physical location (One-Stop Career Center or affiliate site) or remotely through electronic technologies and does not receive a significant staff assisted service during the report period.

Self-service information and activities are those core services that are made available and accessible to the general public. These services are designed to inform and educate individuals about the labor market, their employment strengths and weaknesses, and the range of services appropriate to their situation.

A significant staff assisted service in a workforce investment setting is any assistance provided beyond the informational activities defined above regardless of the length of staff time involved in providing the assistance. The table in Attachment 1 provides a listing of potential services that would constitute significant staff involvement. Clients receiving this level of service should be determined eligible and enrolled in the WIA program.

A self-service exiter is a self-service participant that does not receive any service (self-service or significant staff assisted service) for 90 days.

A WIA funded service includes any self-service information and activities that are totally or partially funded by the WIA. This includes self-service and informational activities funded by a partner, if the physical facility where the service occurs, is funded totally or in part by the WIA.

Beginning October 20, 2006, the report period is the calendar quarter proceeding the report date. To the degree possible, for the initial July 10, 2006, report, LWIAs should report complete data for Program Year 2005-06. Please refer to the detailed reporting instructions included as Attachment 2.

REPORTING OPTIONS:

1. ***Provide a self-service client record through the universal access screen in the Job Training Automation (JTA) system for each participant accessing WIA funded self-service information and activities during the report period.***

Exclude participants from this reporting that advance to a significant, WIA funded staff supported service during the report period.

The WID will assist LWIAs using this procedure by completing the automated match against the JTA system to exclude participants enrolled in the WIA during the report period and track clients for the purpose of determining the number of self-service clients that exit in the report quarter.

- 2. The LWIAs that are unable to provide a client record through the JTA system, must use the attached Universal Services Counts (Self-Service) Report Form, Attachment 3 to this directive, to report an aggregate count of clients participating in self-services and the number of self-service exiters during the report period. Line item instructions for this form are included as Attachment 4. Sufficient documentation should be available at the local level to verify these aggregate counts upon request by the State, the DOL, or an authorized agent of the State or the DOL.**

Report forms should be electronically mailed to LWhatley@edd.ca.gov or faxed to (916) 654-9586, Attention: Larry Whatley.

ACTION:

This directive should be made immediately available to One-Stop operators and staff and to Management Information System staff and others responsible for the LWIA's compliance with the DOL and State reporting procedures.

INQUIRIES:

Questions regarding this policy and procedure should be directed to Larry Whatley in the WID Performance Management Unit, at (916) 654-8287, or the [Regional Advisor](#) assigned to your LWIA.

BOB HERMSMEIER
Chief
Workforce Investment Division

Attachments

DEFINITION OF SIGNIFICANT STAFF ASSISTED SERVICE

The following services represent significant staff assisted services.

WIA Core Service	WIA Intensive Services	WIA Training Service
Staff assisted job search assistance, job referral, and career counseling	Comprehensive and specialized assessment, such as diagnostic testing and interviewing	Occupational skills training
Staff assisted assessment, job placement assistance and other services (such as testing and background checks)	Full development of individual employment plan	On-the-job training
Staff assisted job development (working with employer and job seekers)	Group counseling	Workplace training and cooperative education programs
Staff assisted workshops and job clubs	Individual counseling and career planning	Private sector training programs
	Case management	Skill upgrading and retraining
	Short-term pre-vocational services	Entrepreneurial training
		Job readiness training
		Adult education and literacy activities in combination with training
		Customized training

Source: Department of Labor, Employment and Training Administration, Training and Employment Guidance Letter 17-05 (February 17, 2006), Attachment D, Page 2

REPORTING PERIODS FOR PROGRAM YEARS 2005-06 AND 2006-07

Participants Receiving only Universal Services Between:	Report Date
7/1/05 and 6/30/2006	July 10, 2006
10/1/05 and 9/30/06	October 20, 2006
1/1/06 and 12/31/06	January 19, 2007
4/1/06 and 3/31/07	April 20, 2007
7/1/06 and 6/30/07	July 20, 2007

Exiters Receiving only Universal Services Between:	Report Date
4/1/05 and 3/31/06	July 10, 2006
7/1/05 and 6/30/2006	October 20, 2006
10/1/05 and 9/30/06	January 19, 2007
1/1/06 and 12/31/06	April 20, 2007
4/1/06 and 3/31/07	July 20, 2007

Source: Employment and Training Administration, Workforce Investment Act Quarterly Report, General Reporting Instructions and ETA Form 9090, Appendix A, Revised 2006, Office of Management and Budget Control Number 12-05-0420.

UNIVERSAL SERVICE COUNTS (SELF-SERVICE) REPORT FORM

Date: _____

(1) Report Period: (2) Local Workforce
Investment Area
Name: (3) Subgrantee Code:

(4) Contact Person for this report

Name: _____

Phone Number: _____

(5) UNIVERSAL SERVICE (SELF-SERVICE) CLIENT COUNT

<i>(a) Time Period of Service</i>	<i>(b) Number</i>	<i>(c) Average Visits (Optional)</i>
1 0		
2		
3		
4		

(6) SELF-SERVICE EXITER COUNT

<i>(a) Time Period of Service</i>	<i>(b) Number</i>
1	
2	
3	
4	

Comment:

**LINE ITEM INSTRUCTIONS:
UNIVERSAL SERVICE COUNTS (SELF-SERVICE) REPORT FORM**

LINE ITEM	LINE ITEM LABEL	INSTRUCTION
1	Report Period	The report quarter for which the form applies. For example, the report submitted on July 10, 2006 will be for report period April – June 2006. The report due on October 20, 2006 will be for Report Period July – September 2006.
2	Local Workforce Investment Area	From the drop-down menu select the local area name.
3	Subgrantee Code	From the drop-down menu select your subgrantee code. The drop-down menu provides a list of local area names and the associated subgrantee code. Select the code that applies to your area.
4	Contact Person Completing Report	Provide the name and telephone number of the individual the Workforce Investment Division should contact if there are questions on the report.
5	Universal Service (self-service) client count	<p>Provide a unique count of participants, by quarter, that serve themselves to workforce investment system information and activities funded by the WIA in either a physical location, such as a One-stop Career Center Resource Room or partner agency, or remotely via the use of electronic technologies. This may involve both self-service and staff assisted services when the staff assistance involves information that is readily available to the public.</p> <p>Individuals that receive self-service and move into a significant staff assisted service during the same quarter should be excluded from the self-service count. A self-service participant that moves on to a significant staff assisted service in a subsequent quarter should be counted as a self-service client in the quarter that they received the self-service.</p> <p>Four quarters of data are required in each report. To identify the correct quarters for each report period, please refer to Attachment 3.</p> <p><i>All reported counts may be subject to State or Department of Labor audit. Please keep appropriate documentation.</i></p>

LINE ITEM	LINE ITEM LABEL	INSTRUCTION
6	Self-Service Exiters	<p>An individual that has received a self-service and does not receive any additional service (self-service or a significant staff assisted service) for 90-days. If a participant is receiving partner services during the 90-day period this may be counted as continuing service, if the local area is able to track partner services and determine the 90-day exit following completion of partner services.</p> <p><i>All reported counts may be subject to State or Department of Labor audit. Please keep appropriate documentation.</i></p>
7	Comment	<p>Provide any clarifying comments that will assist the Workforce Investment Division in interpreting this report.</p> <p>If a local area is unable to report self-service participant counts, please use this area to explain, what steps, if any, the local area is taking to collect this information in the future.</p>